



**ALEX PADILLA** | SECRETARY OF STATE | STATE OF CALIFORNIA

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April 12, 2019

The Honorable Holly Mitchell, Chair  
Joint Legislative Budget Committee  
1020 N Street, Room 553  
Sacramento, CA 95814

The Honorable Anthony J. Portantino, Chair  
Senate Appropriations Committee  
State Capitol, Room 2206  
Sacramento, CA 95814

The Honorable Lorena Gonzalez, Chair  
Assembly Appropriations Committee  
State Capitol, Room 2114  
Sacramento, California 95814

Dear Chairpersons Mitchell, Portantino, and Gonzalez:

Attached is my office's quarterly report on the progress of the CAL-ACCESS Replacement System Project, in accordance with Government Code section 84602(c). Previous reports are posted on the Secretary of State's office website at [www.sos.ca.gov/administration/agency-reports/cal-access-replacement-project-cars-agency-reports](http://www.sos.ca.gov/administration/agency-reports/cal-access-replacement-project-cars-agency-reports). If you have any questions about this report, please feel free to contact me at (916) 653-7244, or have your staff contact my Chief of Legislative Affairs, Tiffany Mok, at (916) 695-1686.

Sincerely,

Alex Padilla  
Secretary of State

Attachment

## **Introduction**

In September of 2016, the Governor signed into law Senate Bill (SB) 1349, the Political Reform Act of 1974: Secretary of State: online filing and disclosure system. The bill requires the Secretary of State, in consultation with the Fair Political Practices Commission (FPPC), to develop and certify for public use an online filing and disclosure system for campaign statements and reports that provides public disclosure of campaign finance and lobbying information in a user-friendly, easily understandable format.

The law calls for the Secretary of State to submit a report to the chairs of the Joint Legislative Budget Committee and the fiscal committees of the Legislature on or before December 31, 2017, and on or before every April 15, July 15, October 15, and January 15 thereafter, that certifies whether changes are anticipated to the project's scope, schedule, or budget and any problem that is considered a risk to the project's completion according to the approved project schedule and budget.

## **Background**

The California Automated Lobbyist and Campaign Contribution and Expenditure Search System (CAL-ACCESS) was developed to provide greater public access to campaign contribution and expenditure data, and state lobbying financial activity. CAL-ACCESS was developed to respond to the objectives of the Online Disclosure Act, added to the Political Reform Act of 1974 (PRA) by Ch 866, Stats of 1997. CAL-ACCESS is the public's window into California's campaign disclosure and lobbying financial activity, providing financial information supplied by state candidates, donors, lobbyists, lobbyist employers, and others.

CAL-ACCESS was deployed in June 2000, and, since that time, nearly two (2) million filings have been submitted by filers. However, CAL-ACCESS is an old and fragile system that is at the end of life and operating on an unsupported information technology platform. The current system design has technological restrictions that prevent it from being modified or updated. It lacks data display and reporting features that are commonly used for data analytics.

CAL-ACCESS users and stakeholder groups have identified the following business problems:

- Program business operations are negatively affected by the current system design.
- Program business operations are at risk due to an old, unsupported information technology platform.
- The Secretary of State's Political Reform Division (PRD) and stakeholders have limited information access and reporting capabilities.

SB 1349 requires the Secretary of State to implement a CAL-ACCESS Replacement System to address the shortcomings and vulnerabilities of the current system.

## **CAL-ACCESS Replacement System Project Status – April 2019**

Below is a summary of the Secretary of State's efforts on the CAL-ACCESS Replacement System project for this reporting period.

### **New System Design and Development**

The CAL-ACCESS Replacement System project completed its Phase I Project Initiation and Planning, and continued Phase II System Requirement Confirmation, Architecture and Design and Phase III System Development, Testing and Deployment tasks and activities.

The System Integrator (SI) team, working in collaboration with the SOS Subject Matter Experts (SMEs) and other Project Team members, continued developing and designing the new application.

The SI completed development of all of its Phase I Deliverables and the Phase I End of Phase report. The SI Team completed its System Requirements Specifications Deliverable and submitted the System Technical Architecture for SOS review. The SI Team completed the Deliverable Expectation Documents (DED) for Unit Testing (UT) and Code Review Completion, Data Integration Completion and Report and Develop CARS System Training Materials and Complete Training.

The Organizational Change Management Team conducted ongoing meetings with the CAL-ACCESS Software Vendors and Service Providers to present and discuss electronic file specifications for the new system. The Project Team also met with CommonCause, PRAM, MapLight, the League of Women Voters and other groups to provide a project update and demonstration of the envisioned new system. The Data Migration team continued working with the Secretary of State SMEs and the SI team on mapping legacy CAL-ACCESS data elements to the new system and continued planning for extraction, transfer, and load of the legacy data into the new system.

The Functional Testing Team, in collaboration with the Secretary of State SMEs began functional testing for the new system. The Azure consulting services contractor has completed setup of the Secretary of State Development, Test, and Training environments.

Utilizing the Department of General Services' competitive California Multiple Award Scheme (CMAS) procurement for Information Technology (IT) consulting services, the Project Team selected TMS Inc. for providing Independent Verification and Validation consulting services on the project.

## Currently Perceived Challenges

The Secretary of State CARS project team has identified the following challenges with the implementation date of December 2019, as required by Government Code 84602:

- **Stakeholder feedback:** The CARS Project Team has heard from the CAL-ACCESS software vendors, service providers, California Political Treasurers Association, California Political Attorneys Association, filers and other stakeholders that they are concerned that the system implementation date currently overlaps with 2020 election filing deadlines.

## Implementation Plan

Below is the currently anticipated high level schedule for the CAL-ACCESS Replacement System design, development and implementation activities, which is unchanged since the prior report.

Project Stages	Milestone	Dates	Status
Alternatives Analysis	Complete Alternatives Analysis	11/2016	Complete
Solution Development	Refine Business Requirements and initiate project management and procurement plans (data governance; communications; issue/risk management; project; and contract management.)	12/2016 – 07/2017	Complete
	Release Request for Solicitation	08/2017	Complete
Project Readiness and Approval	Evaluate final Vendor responses	2/2018 - 4/2018	Complete
	Award Contract	5/2018	Complete
Initialization and Planning	Develop project plans and Integrated Project Schedule	6/2018 – 3/2019	Complete
Design Development & Implementation	Requirements Validation	8/2018 – 12/2018	Complete
	Design and Development	11/2018 – 7/2019	In progress
	Training and Testing	6/2019 – 11/2019	
	Implementation	11/2019 - 12/2019	
Maintenance and Operations	First Year Operation and Closeout	1/2020 - 12/2020	